

03-07-01

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jc961 U.S. PTO  
03/06/01

PATENT APPLICATION

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of )

JOSEPH D. KUNZEMAN ET AL. )

Application No. 60/253.964 )

Filed: November 29, 2000 )

For: APPARATUS AND METHOD FOR )  
REDUCING WORK MACHINE NOISE BASED )  
ON LOCATION )

Attorney Docket No. 00-693L )

JC996 U.S. PTO  
09/800284  
03/06/01

Peoria, Illinois 61629-6490  
March 6, 2001

Assistant Commissioner for Patents  
Washington, D.C. 20231


REQUEST FOR CONVERSION OF PROVISIONAL  
TO NON-PROVISIONAL APPLICATION  
(37 C.F.R. § 1.53(c)(3))

Sir:

Please convert the above identified provisional  
application filed to a non-provisional application under 37  
C.F.R. § 1.53(c)(3).

A Declaration executed by the inventor(s) is  
enclosed.

Respectfully submitted,

  
Thomas L. Derry  
Reg. No.: 46,660  
Caterpillar Inc.

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T:\VLM\00-693CONV.DOC

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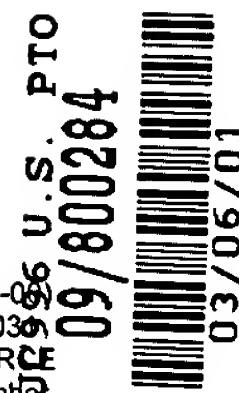


PTO/SB/21 (08-06)

Approved for use through 10/31/2002. OMB 0651-0036

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number

(Unassigned)

Filing Date

November 29, 2000

First Named Inventor

JOSEPH D. KUNZEMAN ET AL.

Group Art Unit

Examiner Name

Total Number of Pages in This Submission

Attorney Docket Number

00-693

## ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form
- ☒ Fee Attached
- ☐ Amendment / Reply
- ☐ After Final
- ☐ Affidavits/declaration(s)
- ☐ Extension of Time Request
- ☐ Express Abandonment Request
- ☒ Information Disclosure Statement
- ☐ Certified Copy of Priority Document(s)
- ☐ Response to Missing Parts/ Incomplete Application
- ☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☒ Assignment Papers (for an Application)
- ☒ Drawing(s)
- ☐ Licensing-related Papers
- ☐ Petition
- ☐ Petition to Convert to a Provisional Application
- ☐ Power of Attorney, Revocation Change of Correspondence Address
- ☐ Terminal Disclaimer
- ☐ Request for Refund
- ☐ CD, Number of CD(s) \_\_\_\_\_

- ☐ After Allowance Communication to Group
- ☐ Appeal Communication to Board of Appeals and Interferences
- ☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- ☐ Proprietary Information
- ☐ Status Letter
- ☒ Other Enclosure(s) (please identify below):
- Declaration
- Request/Petition Under CFR 1.53(c)

Remarks

This is a request to convert provisional application Serial No. 60/253,964, filed November 29, 2000, to a non-provisional application.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

Thomas L. Derry, Registration No. 46,660

Signature

Thomas L. Derry

Date

March 6, 2001

## U.S. POSTAL EXPRESS-MAILING LABEL NO. EL661474315US

This correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service addressed to the Assistant Commissioner for Patents, Washington, DC 20231 on this date: 03/06/2001

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03/06/01

1c961 U.S. PTO

PTO/SB/17 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$) 840

**Complete if Known**

Application Number	(Unassigned)
Filing Date	November 29, 2000
First Named Inventor	Joseph D. Kunzeman ET AL.
Examiner Name	
Group Art Unit	
Attorney Docket No.	00-693

**METHOD OF PAYMENT**

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 03-1129  
Deposit Account Name

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	710
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$) 710

**2. EXTRA CLAIM FEES**

Total Claims 16 -20\*\* = 0 x 18 = 0  
Independent Claims 2 -3\*\* = 0 x 80 = 0  
Multiple Dependent  =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	130
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 130

**SUBMITTED BY**

Name (Print/Type)	Thomas L. Derry	Registration No. (Attorney/Agent)	46,660	Telephone	(309) 675-1029
Signature	<i>Thomas L. Derry</i>	Date	03/06/2001		

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